

Docket No. 248323US2/phf

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Yoshiki MURAKAMI, et al.

SERIAL NO: 10/768,444

GAU: 3621

FILED: February 2, 2004

EXAMINER:

FOR: POWER TRADING RISK MANAGEMENT SYSTEM

**INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97**

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

**REFERENCES**

- ☒ The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**RELATED CASES**

- ☐ Attached is a list of applicant's pending application(s) or issued patent(s) which may be related to the present application. A copy of the patent(s), together with a copy of the claims and drawings of the pending application(s) is attached along with PTO 1449.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**CERTIFICATION**

- ☐ Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

**DEPOSIT ACCOUNT**

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.



Marvin J. Spivak

Registration No. 24,913

Joseph A. Scafetta, Jr.  
Registration No. 26,803

Customer Number

**22850**

Tel. (703) 413-3000  
Fax. (703) 413-2220  
(OSMMN 05/03)

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /J.A.V.



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF:

Yoshiki MURAKAMI, et al.

SERIAL NO: 10/768,444

GROUP: 3621

FILED: February 2, 2004

EXAMINER:

FOR: POWER TRADING RISK MANAGEMENT SYSTEM

**STATEMENT OF RELEVANCY**

**Reference AO (JP 2003-331128) on Form PTO-1449:**

This invention provides a pricing method for the derivatives of which underlying asset such as electricity has a volatility larger than 100% or maturity term longer than 10 years. For this purpose, Monte-Carlo method is used to solve Boltzmann equation considering the relation between electricity demand and supply.



Form PTO 1449 (Modified)		U.S. DEPARTMENT OF COMMERCE PATENT & TRADEMARK OFFICE		ATTY DOCKET NO. <b>248323US2</b>		SERIAL NO. <b>10/768,444</b>	
LIST OF REFERENCES CITED BY APPLICANT				APPLICANT <b>Yoshiki MURAKAMI, et al.</b>			
				FILING DATE <b>February 2, 2004</b>		GROUP <b>3621</b>	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE	
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						
	AL						
	AM						
	AN						
<b>FOREIGN PATENT DOCUMENTS</b>							
	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES                      NO			
	AO 2003-331128	11/21/2003	JAPAN (with English Abstract)				X
	AP						
	AQ						
	AR						
	AS						
	AT						
	AU						
	AV						
<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
	AW						
	AX						
	AY						
	AZ					<input type="checkbox"/> Additional References sheet(s) attached	
Examiner                      /James Vezeris/				Date Considered                      03/03/2008			

\*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.